

NOTICE OF INTENTION (STOCK CO-OP/LEHC)

RE 658 Part II (Rev. 9/99)

INTRODUCTION

The index/quantitative deficiency notice (Part II) is designed to allow DRE staff to quickly determine whether your application is substantially complete, without having to review the entire questionnaire (Part III). Please read the Applicant's Instructions thoroughly. By properly completing Part II, you will enable the Department to send out a quantitative deficiency notice within 10 days.

Part II is a list of any and all possible documents required for a substantially complete application only. It is not a list of all the documents needed for issuance of the final public report. The additional documents needed for issuance of the final report will be listed in the deficiency notices prepared by a Deputy, after your application is substantially complete.

USE OF MASTER FILE

If you are submitting the first phase/increment of a multi-phase/increment project, you may elect to designate this application as a "master file" for the subsequent applications. (See Part III item 1K.) This means you may use documentation contained in the master file to serve in subsequent applications without having to resubmit the same item.

When submitting subsequent phase/increments, indicate which documents are to be referenced in the master file by entering "M. File" in column #5 of Part II and in the appropriate item in Part III.

INSTRUCTIONS

- Step 1. Complete Part III. Answer all questions.
- Step 2. Complete Part II. For each item number shown in column #1 of Part II, consult Part III and transfer your answer to column #2. Enter "Yes," "No," or "NA." If you leave any blanks, your application is incomplete and therefore does not meet minimum filing package requirements.
- Step 3. Compare your transferred answer in column #2 to the "Qualifying Answer" in column #3. If the answers in column #2 and column #3 are the same, you must submit the corresponding document named in column #4 in order to compile a substantially complete application. Part III of the Notice of Intention provides further information on the specific document required.
- Step 4. Compile and tab documents with the number shown in column #1. If more than one document needs to be submitted in response to a single question, tab each document with the same number. If a single document serves as more than one required document, place the other tab(s) on it to identify which items it covers.
- Step 5. In column #5, indicate with a check mark which items you are submitting with your initial filing.

After review of your file, DRE staff will check column #6 to confirm which additional documents, if any, are required to qualify for an SCA. A copy of Part II will be sent to you as a "Quantitative Deficiency Notice." Submit all the deficiency-response documents together in one package with the original Quantitative Deficiency Notice and RE 607.

EXAMPLE (FROM PART III)**7. * Leases Affecting Title**

Are there now any leases which affect title or are there any leases proposed? ☐ NO ☒ YES ☐ NA

If YES, submit a copy of all leases affecting title.

EXAMPLE (FROM PART II)

| Column #1 Part III Item Number | Column #2 Your answer from Part III | Column #3 Qualifying Answer | Column #4 Document Required (If columns #2 & #3 Match) | Column #5 Document Submitted | Column #6 Required for SCA |
|--------------------------------------|---|-----------------------------------|--|-------------------------------------|----------------------------------|
| 7 | YES | YES | * Leases Affecting Title | <input checked="" type="checkbox"/> | |

- ✓ Answers in columns #2 and #3 match; document in column #4 must be submitted.
- ✓ Enter a check mark in column #5, if document is being submitted with application.
- ✓ Every applicable item that is asterisked (*) must be submitted upon initial filing in order to meet minimum filing package (MFP) requirements. If MFP requirements are not met, the application will be returned.

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INDEX/QUANTITATIVE DEFICIENCY NOTICE (SCA)

Note: ✓ Additional items not listed below may be required for issuance of a final public report.
 ✓ ♦ Indicates exhibit may serve as Master File Item.

✓ * Indicates "minimum filing package" documents.
 ✓ Do not write in column #6 – it is for DRE use only.

| TRACT NAME/NUMBER | | | | FILE NUMBER (TO BE ENTERED BY DRE) | |
|--------------------------------------|---|-----------------------------------|---|------------------------------------|----------------------------------|
| Column #1 Part III Item Number | Column #2 Your answer from Part III | Column #3 Qualifying Answer | Column #4 Document Required (If columns #2 and #3 match) | Column #5 Document Submitted | Column #6 Required for SCA |
| Does not apply | Always | Submit | * RE 658 | | |
| Does not apply | Always | Submit | Copy of Part III, page 1 | | |
| 1H | Always | Submit as Applicable | * Filing fee | | |
| | | | * Lot fee | | |
| | | | * Address labels | | |
| ♦ 2 | | NO | * Out-of-State Subdivider | | |
| 4C | | YES | * RE 612A | | |
| | | | * RE 612 | | |
| | | | Typed Preliminary Report (short pink) | | |
| ♦ 5A(1-8) | | YES | Details of Advertising and Promotion | | |
| 6A | Always | Submit | * Preliminary Report | | |
| 6B | | NO | * Evidence of Future Vesting | | |
| 6D | | NO | Protection Arrangements | | |
| ♦ 7 | | YES | * Leases Affecting Title | | |
| ♦ 8 | | YES | Coastal Zone Permit or Exemption | | |
| 9J | Always | Submit | RE 619 Natural Hazards | | |
| ♦ 10B | | NO | Fire Protection Service Letter | | |
| ♦ 10C | | YES | Fire Will-Serve – State Responsibility Area | | |
| 11B | | YES | Financial Arrangements for Sewer System or Verification of Installation [11B(2)(3)] | | |

| Column #1 Part III Item Number | Column #2 Your answer from Part III | Column #3 Qualifying Answer | Column #4 Document Required (If columns #2 and #3 match) | Column #5 Document Submitted | Column #6 Required for SCA |
|--------------------------------------|---|-----------------------------------|--|------------------------------------|----------------------------------|
| ◆ 11D | | YES | Health Authority Letter re: Individual Septic/Sewer Systems | | |
| ◆ 14C(1) | | NO | Water Supplier Letter/Evidence of financial arrangements | | |
| ◆ 14C(1)(b) | | NO | Water Supplier Letter | | |
| ◆ 14D | | YES | Water Supplier Letter | | |
| ◆ 14E(1) | | YES | Well Driller's Estimate | | |
| | | | Health Authority Letter re: Individual Wells | | |
| ◆ 14E(2) | | YES | Geologist's Report | | |
| ◆ 14E(3) | | YES | Special Conditions Statement | | |
| ◆ 15B(1) | | YES | Evidence of Financial Arrangements for Gas | | |
| ◆ 15B(2) | | YES | Evidence of Financial Arrangements for Electricity | | |
| ◆ 15B(3) | | YES | Evidence of Financial Arrangements for Telephone | | |
| ◆ 15C(1) | | YES | Gas Company Estimates | | |
| ◆ 15C(2) | | YES | Electricity Company Estimates | | |
| ◆ 15C(3) | | YES | Telephone Company Estimates | | |
| 15D | Always | Submit | Schools | | |
| ◆ 16B(1) | | YES | Evidence of Financial Arrangements | | |
| ◆ 16B(2) | | NO | Evidence of Financial Arrangements | | |
| ◆ 17 | | NO | Flood Agency Report | | |
| ◆ 18B(4) | | YES | RE 624C | | |
| ◆ 18C,D | | YES | RE 624C | | |
| ◆ 19D | | YES | Street Construction & Maintenance Letter | | |
| ◆ 19E(1) | | NO | Evidence of Financial Arrangements | | |
| 20B(3) | | YES | Trust Agreement | | |

| <i>Column #1</i> | <i>Column #2</i> | <i>Column #3</i> | <i>Column #4</i> | <i>Column #5</i> | <i>Column #6</i> |
|-------------------------|------------------------------|----------------------|--|-----------------------|---------------------|
| Part III Item Number | Your answer from Part III | Qualifying Answer | Document Required (If columns #2 and #3 match) | Document Submitted | Required for SCA |
| 20B(4) | | YES | * Security instrument | | |
| 20B(5) | | YES | * Regulatory Agreement | | |
| 20E | | YES | Use Restrictions | | |
| ◆ 21 | | YES | *Sample Real Property Sales Contract | | |
| ◆ 23B | | YES | Fractional Undivided Interest | | |
| ◆ 23C | Always | Submit | Convey/Lease Instruments | | |
| 24A | | NO | Financing Plans | | |
| 24B | | YES | Copies of Agreements | | |
| 24B(3) | | YES | Encumbrance Protection | | |
| 24C(2) | Always | Submit | Financing Plans | | |
| ◆ 25 | | NO | * Sample Grant Deed | | |
| ◆ 26B | | YES | * All Leases | | |
| ◆ 27A | Always | Submit | * Tentative Map (including approval), Map or Waiver | | |
| 27B | | YES | Map Documents | | |
| 28 | | YES | * Cooperative Plan with Definition Page | | |
| ◆ 29 | Always | Submit | * Plot Plan | | |
| ◆ 30 | Always | Submit | Vicinity Map | | |
| 31A | Always | Submit | Completed RE 624A(s) | | |
| 31B | | YES | Facilities Use Statement | | |
| 32A | | YES | Evidence of Financial Arrangements | | |
| 32B(2)(a) | | YES | RE 611A | | |
| 32B(2)(b) | | YES | Escrow Instructions | | |
| 32B(2)(c) | | YES | Evidence of Lien Insurance | | |
| | | | Title Company Statement | | |

| Column #1 Part III Item Number | Column #2 Your answer from Part III | Column #3 Qualifying Answer | Column #4 Document Required (If columns #2 and #3 match) | Column #5 Document Submitted | Column #6 Required for SCA |
|--------------------------------------|---|-----------------------------------|---|------------------------------------|----------------------------------|
| 32B(2)(d) | | YES | Alternative Plan (Set aside Letter, Letter of Credit or Other) | | |
| | | | RE 611A | | |
| 33 | | YES | Completed RE 639, Sample List or Sample Disclaimer | | |
| ◆ 34 | | YES | Subsidy/Maintenance Agreement and Supporting Documents | | |
| ◆ 35 | | YES | Contract(s) Obligating Cooperative | | |
| ◆ 36 | | YES | Sales Program Agreement with Coop- erative | | |
| 37A | Always | Submit | RE 623 | | |
| 37B | | YES | Capital Contribution | | |
| 38A | | YES | RE 623(s); Future Phases | | |
| ◆ 38B | | NO | Map of Future Phases | | |
| 38C(1)(a)/(b) | | YES | Financial Statement | | |
| | | | Budget | | |
| | | | Assessment Delinquency Statement | | |
| | | | Reserve Analysis | | |
| 39 | Always | Submit | * Escrow Instructions | | |
| 40A | | YES | Escrow Instructions and Conveyance Instrument | | |
| ◆ 40B | | YES | Escrow Instructions and Conveyance Instrument | | |
| 41C | | YES | Alternative Plan | | |
| ◆ 42A(1) | | No | * RE 648 | | |
| ◆ 42A(2) | | YES | * RE 616B | | |
| | | | * RE 616C | | |
| 43B(1) | | YES | Submit Amended Pages | | |
| ◆ 44 | | YES | * Articles of Incorporation/Association | | |

| Column #1 Part III Item Number | Column #2 Your answer from Part III | Column #3 Qualifying Answer | Column #4 Document Required (If columns #2 and #3 match) | Column #5 Document Submitted | Column #6 Required for SCA |
|--------------------------------------|---|-----------------------------------|--|------------------------------------|----------------------------------|
| ◆ 45 | | YES | * Bylaws | | |
| ◆ 46 | | YES | * Existing CC&Rs | | |
| ◆ 47 | Always | Submit | * Proposed CC&Rs | | |
| ◆ 47B | Always | Submit | Master Lease, Occupancy Agreement | | |
| 47C | | YES | Use Restrictions | | |
| 48B | | YES | Subordination | | |
| 48F | | NO | Subordination | | |
| 49 | | YES | * Declaration of Annexation | | |
| 51 | Always | Submit | DUPLICATE BUDGET PACKAGE or RE 684A | | |
| Not Numbered | | As Applicable | Authorization to Sign | | |
| | | | Agent's Authorization | | |

DUPLICATE BUDGET PACKAGE INFORMATION (DBP)

The documents required in the DBP will vary depending on your project's set-up. In order to determine whether your DBP is complete, transcribe your answers from Part III to column #2 on page 7. If your answer matches the preprinted qualifying answer in column #3, the DBP must include the documents shown in column #4.

When all the required documents are collected, submit them at one time in a separate folder as described in Part I, section XIV and as shown in Figure B.

All items required for DBP must be submitted at one time. If the DBP is not complete the entire folder will be returned.

If this is a subsequent phase filing (or a subsequent map filing) **and** if the budget for this phase was approved within the last eighteen months, **and** if there is absolutely no change in the offering, you may submit RE 684A in lieu of a DBP.

① May be deleted from subsequent phase or subsequent map filings. (Refer to Part I, section XIV.)

| Column #1 Part III Item Number | Column #2 Your answer from Part III | Column #3 Qualifying Answer | Column #4 Document Required (If columns #2 and #3 match) | Column #5 Document Submitted | Column #6 Required for SCA |
|--------------------------------------|---|-----------------------------------|--|------------------------------------|----------------------------------|
| N/A | Always | Submit | RE 681 | | |
| N/A | Always | Submit | 5 Address Labels | | |
| 9J | Always | Submit | RE 619 Natural Hazards | | |
| 30 | Always | Submit | Vicinity Map | | |
| 27A | Always | Submit | Tentative Map, Map or Waiver ① | | |
| 28 | | YES | Cooperative Plan | | |
| 29 | Always | Submit | Plot Plan | | |
| N/A | Always | Submit | Part III Questionnaire ① | | |
| 32B(2)(a) | | YES | RE 611A | | |
| 37 | Always | Submit | RE 623 | | |
| 38A | | YES | RE 623(s); Future Phases | | |
| 38B | | NO | Map of Future Phases | | |
| 38C(1)(a)/(b) | | YES | Financial Statement | | |
| | | | Budget | | |
| | | | Assessment Delinquency Statement | | |
| | | | Reserve Analysis | | |
| 31A | Always | Submit | Completed RE 624A(s) | | |
| 33 | | YES | Completed RE 639 | | |
| 34 | | YES | Subsidy/Maintenance Agreement and Supporting Documents | | |
| 35 | | YES | Contract(s) Obligating HOA | | |
| 45 | | YES | Bylaws ① | | |
| 47 | Always | Submit | CC&Rs ① | | |
| 49 | | YES | Declaration of Annexation | | |
| 51 | | | RE 684A Certification (Approved Budget) | | |